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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael R. Schrimpf, *et al.*

Serial No.: 10/772,192

Filed: February 4, 2004

For: AMINO-SUBSTITUTED TRICYCLIC
DERIVATIVES AND METHODS OF
USE

Examiner: (not assigned)

Group Art Unit: 1632

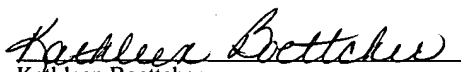
Attorney Docket No.: 7271.US.O1

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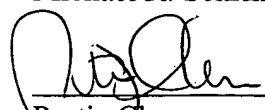
Dear Sir:

Enclosed herewith is an Information Disclosure Statement for Michael R. Schrimpf, *et al.*, for AMINO-SUBSTITUTED TRICYCLIC DERIVATIVES AND METHODS OF USE, the specification of which was filed on February 4, 2004, and received Serial No. 10/772,192.

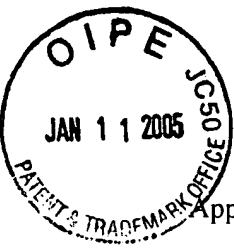
Also enclosed are: Form PTO 1449 (in duplicate) w/sixty-five (65) references
Return-receipt postcard

The Commissioner is hereby authorized to charge any additional Filing Fees required under 37 CFR 1.16, as well as any patent application processing fees under 37 CFR 1.17 associated with this communication for which full payment has not been tendered, to Deposit Account No. 01-0025. A duplicate copy of this sheet is enclosed.

Respectfully submitted,
Michael R. Schrimpf, *et al.*


Portia Chen
Registration No. 44,075
Attorney for Applicants

ABBOTT LABORATORIES
Customer No.: 23492
Telephone: (847) 937-8272
Facsimile: (847) 938-2623



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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

This information disclosure statement is being filed before the mailing date of a first Office Action on the merits under 37 CFR § 1.97(b).

The Applicants submit herewith Form PTO 1449 listing the references cited for this Information Disclosure Statement.

The Applicants respectfully request that the Examiner initial next to each reference listed on the enclosed Form PTO 1449 indicating that the Examiner has considered and made those references of record in this application and that a copy of the initialed Form PTO 1449 be returned to Applicants.

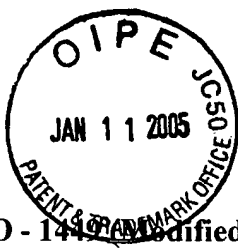
No charge is required for the submission of this Information Disclosure Statement under 37 C.F.R. § 1.97 (b). The Commissioner is hereby authorized to charge any additional filing fees required under 37 C.F.R. § 1.17 concerning this transmission, or to credit any overpayment to Deposit Account No. 01-0025.

Respectfully submitted,
Michael R. Schrimpf, *et al.*

Portia Chen
Portia Chen

Registration No. 44,075
Attorney for Applicants

ABBOTT LABORATORIES
Customer No.: 23492
Telephone: (847) 937-8272
Facsimile: (847) 938-2623



DATE: January 7, 2005 SHEET 1 of 5

Form PTO - 1449 (Modified)

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(Modified) PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

(37 CFR 1.98 (b))

ATTY. DOCKET NO.

7271US01

SERIAL NO.

10/772,192

APPLICANT(S)

Schrimpf, et al.

FILING DATE

February 4, 2004

GROUP

1632

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	INVENTOR	CLASS	SUB CLASS	FILING DATE
	A1	3,838,131	09/24/1974	Gauthier	260	286	04/03/1972
	A2	3,838,134	09/24/1974	Gauthier	260	286	01/07/1974
	A3	3,932,643	01/13/1976	Gauthier	424	258	06/07/1974
	A4	4,059,702	11/22/1976	Meyer	424	248.55	11/11/1976
	A5	4,169,897	10/02/1979	Meyer et al.	424	330	11/11/1976
	A6	6,004,959	12/21/1999	Jones et al.	514	238.8	04/18/1997
	A7	6,379,590	04/30/2002	Wu et al.	252	582	12/02/1994

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUB CLASS	TRANS- LATION YES NO
	B1	06228094	16.08.1994	JP			
	B2	08134067	28.05.1996	JP			
	B3	11217348	10.08.1999	JP			
	B4	10101591	21.04.1998	JP			
	B5	00/10990	02.03.2000	WO			
	B6	02/96911	05.12.2002	WO			
	B7	01/07409	01.02.2001	WO			
	B8	02/02564	10.01.2002	WO			
	B9	97/45397	04.12.1997	WO			
	B10	96/26938	06.09.1996	WO			
	B11	2004/016608	26.02.2004	WO			
	B12	95/00468	05.01.1995	WO			

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(Form PTO 1449)

Form PTO - 1449 (Modified)

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 7271US01	SERIAL NO. 10/772,192
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98 (b))	APPLICANT(S) Schrimpf, et al.	
	FILING DATE February 4, 2004	GROUP 1632

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

C1	Adams et al., "Development of $\alpha 7$ nicotinic cholinergic receptor in rat hippocampal formation," Developmental Brain Research 139:175-187 (2002)
C2	Adler et al., "Schizophrenia, sensory gating, and nicotinic receptors," Schizophrenia Bulletin 24(2):189-202 (1998)
C3	Albrecht et al., "Bis-basic-substituted polycyclic aromatic compounds. A new class of antiviral agents. ¹⁻³ 8. Bis-basic derivatives of carbazole, dibenzofuran, and dibenzothiophene," J. Med. Chem. 20(3):364-371 (1977)
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C12	Coe et al., "Convenient preparation of <i>N</i> -substituted indoles by modified leimgruber-batcho indole synthesis," Tetrahedron Letters 37(34):6045-6048 (1996)
C13	Cordero-Erausquin et al., "Tonic nicotinic modulation of serotonergic transmission in the spinal cord," PNAS 98(5):2803-2807 (2001)

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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

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C16	Familioni et al., "Intramolecular anionic friedel-crafts equivalents. A general regiospecific route to substituted and naturally occurring xanthen-9-ones," Synlett. 1081-1083 (1997)
C17	Friedman et al., "A double blind placebo controlled trial of donepezil adjunctive treatment to risperidone for the cognitive impairment of schizophrenia," Biol. Psychiatry 51:349-357 (2002)
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C22	Heeschen et al., "Nicotine stimulates angiogenesis and promotes tumor growth and atherosclerosis," Nature Medicine 7(7):833-839 (2001)
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C26	Jacobi et al., "Nicotine accelerates angiogenesis and wound healing in genetically diabetic mice," American Journal of Pathology 161:97-104 (2002)
C27	Jonnala et al., "Relationship between the increased cell surface $\alpha 7$ nicotinic receptor expression and neuroprotection induced by several nicotinic receptor agonists," Journal of Neuroscience Research 66:565-572 (2001)

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C28	Kihara et al., "α7 nicotinic receptor transduces signals to phosphatidylinositol 3-kinase to block A β-amyloid-induced neurotoxicity," Journal of Biological Chemistry 276(17):13541-13546 (2001)
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C30	Kym et al., "Bisphenolic compounds that enhance cell cation transport are found in commercial phenol red," J. Med. Chem. 39:4897-4904 (1996)
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C32	Levin, "Nicotinic receptor subtypes and cognitive function," J. Neurobiol. 53:633-640 (2002)
C33	Ley et al., "Modern synthetic methods for copper-mediated C(aryl)-O, C(aryl)-N, and C(aryl)-S bond formation," Angew. Chem. Int. Ed. 42:5400-5449 (2003)
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C35	Lynch et al., "Efficient asymmetric synthesis of ABT-594; a potent, orally effective analgesic," Tetrahedron Asymmetry 9:2791-2794 (1998)
C36	Muci et al., "Practical palladium catalysts for C-N and C-O bond formation," Topics Current Chem. 219:131-209 (2002)
C37	Olah et al., "Nafion-H catalysed intramolecular friedel-crafts acylation: formation of cyclic ketones and related heterocycles," Synlett. 7:1067-1068 (1999)
C38	Pabreza et al., "[³ H]cytosine binding to nicotinic cholinergic receptors in brain," Mol. Pharm. 39:9-12 (1991)
C39	Perry et al., "2,7-disubstituted amidofluorenone derivatives as inhibitors of human telomerase," J. Med. Chem. 42:2679-2684 (1999)
C40	Pirung et al., "Photochemically removable silyl protecting groups," J. Am. Chem. Soc. 123:3638-3643 (2001)
C41	Prescott, Ed. Methods in Cell Biology, Volume XIV, Academic Press, New York, N.Y. 33 et seq. (1976)
C42	Rowley et al., "Current and novel approaches to the drug treatment of schizophrenia," Journal of Medicinal Chemistry 44(4):477-501 (2001)

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C43	Sawa et al., "Schizophrenia: neural mechanisms for novel therapies," Mol. Med. 9:3-9 (2003)
C44	Shimohama et al., "Nicotinic $\alpha 7$ receptors protect against glutamate neurotoxicity and neuronal ischemic damage," Brain Research 779:359-363 (1998)
C45	Sill et al., "Bis-basic-substituted polycyclic aromatic compounds. A new class of antiviral agents. 1. Bisalkamine esters of fluorenone-, fluorenol-, and fluorenedicarboxylic acids," J. Med. Chem. 16(3):240-245 (1973)
C46	Son et al., "Evidence suggesting that the mouse sperm acrosome reaction initiated by the zona pellucida involves an $\alpha 7$ nicotinic acetylcholine receptor," Biology of Reproduction 68:1348-1351 (2003)
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C48	Ting et al., "The synthesis of substituted fluorenes as novel non-imidazole histamine H ₃ inhibitors," Bioorganic & Medicinal Chemistry Letters 12:2643-2646 (2002)
C49	Torii et al., "A versatile cycloaddition for the generation of pyrrolidine derivatives via C-N-C 1,3-dipoles," Chemistry Letters 747-748 (1996)
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C51	Tsunoda et al., "1,1'-(Azodicarbonyl)dipiperidine-tributylphosphine, a new reagent system for mitsunobu reaction," Tetrahedron Letters 34(10):1639-1642 (1993)
C52	Tunoori et al., "Polymer-bound triphenylphosphine as traceless reagent for mitsunobu reactions in combinatorial chemistry: synthesis of aryl ethers from phenols and alcohols," Tetrahedron Letters 39:8751-8754 (1998)
C53	Wang et al., "Nicotinic acetylcholine receptor $\alpha 7$ subunit is an essential regulator of inflammation," Nature 421:384-388 (2003)

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